



RECORDS RETENTION SCHEDULE



Prepared by
STATE RECORDS BRANCH
Public Records Division
Kentucky Department for Libraries and Archives

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

Schedule Date: March 01, 1985

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Justice and Public Safety
Office of the Secretary

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
03658	Appointment/Commission File (N) NA Change Date: 6/14/1990	This series documents the process by which individuals are appointed and commissioned to serve as Tennessee Valley Authority (TVA) Policemen, Peace Officers and Special Law Enforcement Officers, as required in KRS 61.886-61.892 and KRS 61.900-61.930. The application process is initiated by the employer on behalf of the prospective employee. All fees are paid by the employer. Upon receipt of the application by the Justice Cabinet, an interview is conducted and a background check completed. Upon verification that the individual meets requirements as specified in the above statutes, an appointment is issued. The process is complete when the individual is administered the oath of office by the County Clerk, in the county of employment. Special training may be required in some categories. If so, training is received from the Cabinet's Department of Criminal Justice Training. TVA Policemen are employed by the Tennessee Valley Authority only, with jurisdiction limited to that property. Peace Officers, such as security guards, have jurisdiction over the employer's property only, with arrest powers limited to offenses occurring on that property. Special Law Enforcement Officers' duties extend to the protection of specific public properties, such as Capitol grounds, public schools, public airports, etc. All have authority to carry weapons. In most cases, arrest powers are limited to offenses occurring on employer's property.	This series contains: Application; Completion of Records Check; Copy of Certificate (Commission); Bond Information; Authority to Release Information; Acknowledgement of Local Peace Officer Act (notarized copy)	Agency: Indefinite	Records Center: NA	Archives Center: NA
				Destroy one year after file is inactivated		
03659	Filing Fee Log (N) NA Change Date: 6/14/1990	This series documents the fees received as a result of appointments and renewals of Tennessee Valley Authority (TVA) Policemen, Peace Officers and Special Law Enforcement Officers. The series represents a record of all activity since the Justice Cabinet assumed responsibility for completing application process. It is used to verify amount of fees received. *Reference rate is based upon initial appointment and renewal activity. Currently there are 1,520 commissioned officers.	This series contains: Check or Money Order Number; Date Fee Received; Name of Candidate; Date Money Transferred to Administrative Services for Deposit into the State Treasury	Agency: Indefinite	Records Center: NA	Archives Center: NA
				Destroy when no longer useful		

STATE AGENCY RECORDS RETENTION SCHEDULE

Justice and Public Safety
Office of the Secretary
Criminal Justice Council

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
04784	Grant File - (Includes all grant programs currently administered by the Cabinet) (C) KRS 61.878 (1)(a) may apply to some grant programs Change Date: 9/30/1998	This series documents the subgranting of federal funds received by the Justice Cabinet for the administration of the following programs: Victims of Crime Act; Narcotics Control Assistance Program; Violence Against Women Formula Grant Program; Full Faith in Credit, to set up a system to advise bordering states of the issuance of emergency protective orders; Local Law Enforcement Block Grant, which is used to pay for overtime and equipment purchases; Violent Offender Incarceration Program, for the construction of facilities to house violent offenders; Residential Substance Abuse Program, to establish units in three county jails to house Class D felons; Kentucky Criminal History Improvement Act, to simplify State Police and Administrative Office of the Courts' automated systems; State Identification System Grant, which provides states with additional resources to develop and improve computerized identification systems and to integrate them with FBI databases; Rural Domestic Violence and Child Victimization Enforcement Grant, which is used by the Kentucky Domestic Violence Association to implement media campaigns to address impact of violence against children; and Juvenile Justice and Delinquency Prevention Program. Final award approval rests with the Secretary, Justice Cabinet.	Award Document; Correspondence; Subgrantee Financial Report; Financial Reviews; Special Conditions; Deficiency Memoranda and Responses; Grant Adjustment Notifications; and On-Site Evaluation Reports	Agency: Indefinite	Records Center: 2 years	Archives Center: NA
				Transfer to the State Records Center three years after submission of the final fiscal (H-1) report. Destroy after audit		

STATE AGENCY RECORDS RETENTION SCHEDULE

Justice and Public Safety
Office of the Secretary
General Counsel

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
02895	Law Enforcement Foundation Program Hearing File (C) KRS 61.878 (1) (a) Change Date: 6/13/1996	This series documents hearings, or appeals, regarding denial of benefits from the Kentucky Law Enforcement Foundation Program. The program was established to provide supplemental payments and pension contributions to local governments for qualified law enforcement officers. Specific requirements for participation in the fund can be found in KRS 15.440. The funds may be used as a cash salary supplement to police officers for payment to a pension plan or to compensate police officers who have met specific qualifications. The officer is entitled to receive the state supplement which his qualifications brought to the local unit, hence the basis for an appeal. Any further appeals would be to Circuit Court.	May contain motions, pleadings, investigative material, facts and circumstances of the case, and related correspondence	Agency: I	Records Center:	Archives Center: Destroy five years after case closure, and after all appeals have been exhausted
02894	Litigation Files - (Documents cases where cabinet is named as a party) (C) KRS 61.878 (1) (a) (i) (j) Change Date: 6/13/1996	This series documents all legal actions, where the Justice Cabinet is named as a party. The types of litigation likely to be a part of this file include Board of Claims cases, Personnel suits, federal/state civil rights actions, and negligence suits. This series represents the attorney's working file.	May contain motions, pleadings, briefs, witness interviews, investigative reports, evidence, video/audio tapes, related correspondence.	Agency: I	Records Center:	Archives Center: Destroy five years after case closure, and after all appeals have been exhausted
04599	Death Benefit Hearing File (C) KRS 61.878 (1) (a) Change Date: 6/13/1996 (V)	This series documents the hearings that are held to determine if the statutory criteria have been met for the awarding of death benefits to eligible family members of law enforcement officers who are killed in the line of duty. Benefits are also extended to families of firefighters and members of the Kentucky National Guard. Each case is heard by an Administrative Law Judge or other individual whose service has been contracted for by the Office. (The law governing the establishment of the benefit fund is KRS 61.315.) The Office of Policy and Management releases the payment to the Cabinet for disbursement to appropriate family members. These benefits (in the amount of \$50,000) are in addition to other funds, such as retirement funds and other benefit funds, family members may be entitled to.	May contain request for benefit; correspondence; canceled checks; vouchers; certification of court records; vital statistics information; investigative records; recommended orders; verification of death	Agency: I	Records Center:	Archives Center: Destroy five years after case closure, and audit

STATE AGENCY RECORDS RETENTION SCHEDULE

Justice and Public Safety
Office of the Secretary
Law Enforcement Council

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
02911	Instructor Files - Certified - (Certified to teach police training courses) (N) NA Change Date: 12/14/1995	This series was created to document the certification of police instructors by the Kentucky Law Enforcement Council, as required in KRS 15.360. In addition to certifying police instructors, the Council also prescribes standards for the approval of schools at which law enforcement training courses are conducted. The Council has the sole authority to approve, to issue and to revoke for cause certificates to schools and instructors. Instructors must renew their certification every year for four consecutive years, then at five year intervals. If an instructor's certification is not renewed within five years, the process begins again, with a new application being submitted. All certifications require the approval (or disapproval) of the full Council. Prior to approval, applicants must submit to interviews before the Certification Committee. Council meetings are held quarterly. There is no fee for certification. Decisions of the Council are final and cannot be appealed.	Series contains: application for initial certification; application for re-certification (renewal); transcripts; employment verification; verification of training and qualifications; related correspondence. Series may contain sample lesson plans.	Agency: Indefinite	Records Center: NA	Archives Center: NA
				Destroy five years after de-certification		

STATE AGENCY RECORDS RETENTION SCHEDULE

Justice and Public Safety
Office of the Secretary
Office of Legal Services

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
02963	Lawsuits - Federal and State - Department of Corrections (Duplicate - Original in State or Federal Court) (C) KRS 61.878 (1) (i) (j) Change Date: 12/14/2006 Administrative Change Date: 1/29/1996 (To add confidential citing) (V)	On July 9, 2004, the former Offices of General Counsel at various agencies within the Justice Cabinet were abolished by Executive Order and the Office of Legal Services was formed within the Office of the Secretary of the new Justice and Public Safety Cabinet. This record was formerly found on the retention schedule for the Department of Corrections. This series documents litigation filed by inmates, parolees, or former inmates concerning alleged violations of Civil Rights due to confinement in the Department of Corrections or Juvenile Facilities. The state court cases are filed, assigned and the original pleadings are sent to the appropriate court. A copy of all the documents filed are maintained in the office. The file is signed and scanned into the Federal Court system where the electronic file is maintained as an original. The Federal Court screens cases to eliminate frivolous lawsuits. After filing 3 frivolous lawsuits, an inmate has to receive permission to file any case.	A copy of the complaint, responses, medical records, audio and/or video tapes. Copies of any records pertinent to the act in question maintained by the agency involved, and motions or orders by the the court in question. Originals of any interrogatory or discovery matters and depositions.	Agency: I	Records Center: 9	Archives Center:
				Transfer to State Records Center 1 year after close of the case.		
02964	Lawsuits - Board of Claims (Duplicate - Original in Board of Claims) (C) KRS 61.878 (1) (i) (j) Change Date: 12/14/2006 Administrative Change Date: 1/29/1996 (To add confidential citing) (V)	On July 9, 2004, the former Offices of General Counsel at various agencies within the Justice Cabinet were abolished by Executive Order and the Office of Legal Services was formed within the Office of the Secretary of the new Justice and Public Safety Cabinet. This record was formerly found on the retention schedule for the Department of Corrections. This series documents tort actions involving claims filed against the Commonwealth. Most are administrative claims filed by inmates and are followed up by judicial litigation if necessary. Examples of claims include a State Trooper's hitting a citizen's car or an inmate's property being lost during a move to a different facility. If denied, the case can be appealed to the Franklin Circuit Court within 30 days.	Copies of complaint, pleadings, correspondence, and responses.	Agency: I	Records Center: 4	Archives Center:
				Transfer to State Records Center 1 year after close of case.		

STATE AGENCY RECORDS RETENTION SCHEDULE

Justice and Public Safety
Office of the Secretary
Office of Legal Services

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
02965	Lawsuits - Personnel and Equal Employment Opportunity (Duplicate - Original in Personnel Cabinet, Personnel Board, or Equal Employment Opportunity Commission) (C) KRS 61.878 (1) (i) (j) Change Date: 12/14/2006 Administrative Change Date: 1/29/1996 (To add confidential citing) (V)	On July 9, 2004, the former Offices of General Counsel at various agencies within the Justice Cabinet were abolished by Executive Order and the Office of Legal Services was formed within the Office of the Secretary of the new Justice and Public Safety Cabinet. This record was formerly found on the retention schedule for the Department of Corrections. This series is created to document disciplinary actions against Cabinet employees if those actions are appealed to the Personnel Board. The employee has 30 days to appeal the action; 60 days if it is a termination or EEO case. The typical Personnel Board case lasts 6-9 months. If appropriate, this series follows the appeal to the Franklin Circuit Court and throughout the judicial system.	Copies of personnel records, agency records that are the basis of the disciplinary action, complaint, pleadings, appeals, tapes of hearings, correspondence, and responses.	Agency: 1	Records Center: 4	Archives Center:
				Transfer to State Records Center 1 year after close of case.		

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

Schedule Date: July 01, 1982

STATE AGENCY RECORDS
RETENTION SCHEDULE

Justice and Public Safety
Criminal Justice Training
Administrative

Records Title Series and Description		Function and Use	Contents	Retention Disposition Instruction		
02916	Comprehensive Course File - (Includes final class grade roster) (C) KRS 61.878 (e) Change Date: 12/14/1989 (V)	This series documents course work completed by all law enforcement officers for each calendar year and the principles of law enforcement training. It is necessary if an officer's actions during the line of duty become questioned or become a part of litigation. His actions are compared with the curriculum presented during training and will influence whether they are deemed as appropriate. The course work is also used as the basis for changing the curriculum to include new techniques and/or technology. It is now used to compile trainee transcripts as requested.	Series contains: final class grade roster; course schedule; copy of test administered or numerical list indicating test bank questions used; notice of failure; attendance records indicating absenteeism only; method of grade calculation used; miscellaneous correspondence	Agency: 45 Destroy	Records Center:	Archives Center:
02918	Application for Participation File - (Includes application, inquiries, correspondence for fiscal year) Change Date: 6/1/1985	This series documents the application by local police departments for participation in the Kentucky Law Enforcement Foundation Program Fund (KLEFPF). KLEFPF provides financial benefits to employees who participate in training or educational incentives contained in the program. Applications are submitted yearly. It remains active until the local police unit fails to participate for a one year period. To become active again it must reapply for participation in the program.	Series contains: application; all correspondence received from the agency for that fiscal year; all correspondence, confirmation, and inquiries made to the agency from KLEFPF	Agency: 1 Destroy 1972-1981 records after seven years. Destroy post-1981 records seven years after becoming inactive, and audit	Records Center:	Archives Center:
02919	Certificate of Receipt Change Date: 6/1/1985			Agency: 3 Destroy after audit	Records Center:	Archives Center:
02920	KLEFPF Reimbursement File Change Date: 3/8/1990	This series is used to document the monthly amounts that have been paid by local law enforcement agencies for distribution to departmental personnel eligible to receive Foundation funds. The Kentucky Law Enforcement Foundation Program Fund (KLEFPF) is established by KRS Ch. 15.430 and consists of appropriations from the General Fund of Kentucky and insurance premium surcharges which accrue to this fund. The funding is used as pay incentive to law enforcement officers in Kentucky with the requirement that yearly training be completed. It documents that the participating agency has paid the incentive monies and establishes request for reimbursement by KLEFPF to occur. The file also reflects changes in personnel or payments that have taken place within the last month.	Series contains: department name; address; officer name; social security number; position code; resignation code; basic training start and completion dates; latest in-service training date; year-to-date incentive amount; fiscal year monthly payment amounts; department totals; for incentive and retirement; amount of check; grand total; changes in personnel notations	Agency: 3 Destroy after audit	Records Center:	Archives Center:

STATE AGENCY RECORDS RETENTION SCHEDULE

Justice and Public Safety
Criminal Justice Training
Administrative

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
02921	Quarterly Fiscal Progress Reports - (Includes: police training incentive forms KLEFPF-5 and 5A, KLEFPF-8, and participants report of education completed for quarter) Change Date: 6/1/1985	This series documents three forms summarizing financial transactions and training made by departmental staff each quarter for the Kentucky Law Enforcement Foundation Program Fund (KLEFPF).	Series contains: form 1) summary of previous balance on hand; receipts; expenditures; present balance on hand; form 2) itemized expenditures of total disbursements within the quarter; form 3) training completed of any officer in the department	Agency: 3	Records Center:	Archives Center:
Destroy after audit						
03546	KLEFPF Check File Change Date: 12/14/1989	This series documents the monthly amounts received by local law enforcement agencies to be distributed to departmental personnel eligible to receive KLEFPF funds. The Kentucky Law Enforcement Foundation Program Fund is established by KRS Chapter 15.430 and consists of appropriations from the General Fund of Kentucky and insurance premium surcharges which accrue to this fund. It is used as pay incentive to law enforcement officers in Kentucky with the requirement that yearly training be completed. The information provides for a computer tape that is sent to the Department of Treasury so that checks may be cut to complete the payment process.	Series contains: unit number; social security number; record code; unit name; fiscal year; unit codes; region; county; class; total officers; payment amount; number of payments; funds remaining; pay date; disbursements	Agency: 1	Records Center:	Archives Center:
Delete entries from system after audit						
02922	Special Voucher/Check Listing Change Date: 6/1/1985	This series documents the request of payment from the department to the Finance Cabinet for itemized disbursements related to criminal justice training.	Series contains: itemized check listing reflecting check number; amounts disbursed to the department from the Department of the Treasury; attachment from Treasury reflecting warrants(s)	Agency: 3	Records Center:	Archives Center:
Destroy after audit						
02923	Return Pay-in Vouchers Change Date: 6/1/1985	This series documents the receipt of refunds for disbursement that are returned to local units from the Kentucky Law Enforcement Foundation Program Fund (KLEFPF). It records the financial accounts of local law enforcement units of which funds from KLEFPF are paid into.	Series contains: date; department; division; fund name; name of account; total amount reimbursed; name of officer applied to; account numbers; amounts; description (local units); correspondence	Agency: 3	Records Center:	Archives Center:
Destroy after audit						

STATE AGENCY RECORDS RETENTION SCHEDULE

Justice and Public Safety
Criminal Justice Training
Administrative

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
02924	KLEFPF Compliance Audit Correspondence File Change Date: 3/8/1990	This series documents compliance with regular accounting procedures by law enforcement agencies participating in the Kentucky Law Enforcement Foundation Program Fund (KLEFPF). It is established by KRS Ch. 15.430 and consists of appropriations from the General Fund of Kentucky and insurance premium surcharges which accrue to this fund. The funding is used as pay incentive to law enforcement officers in Kentucky with the requirement that yearly training be completed. Participating agencies pay the incentive and then request reimbursement through KLEFPF Reimbursement File (02920), therefore, the Justice Cabinet audits the procedures whereby the monies are paid. It is used to notify the agency of any discrepancies found or if all procedures were being administered correctly.	Series contains: correspondence of findings	Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
02928	Master Training File - (Printout) (MRR) (Printout-MRR)(V) Change Date: 6/1/1985 (V)	This series documents the complete training history of each police officer participating in the Kentucky Law Enforcement Foundation Program Fund (KLEFPF). They receive pay incentives for required training each year of participation in the program.	Series contains: training history; social security number; record number; education level; name of police officer; name of local training agency; completion date; hours; title of course	Agency: 1	Records Center:	Archives Center:
				Destroy when updated report is verified		
02929	Overdue/Extended Training List - (Printout) (MRR) Change Date: 6/1/1985 (V)	This series documents training information for participating police officers in the Kentucky Law Enforcement Foundation Program Fund (KLEFPF). It lists any overdue hours of in-service training officers need to complete and any hours which may have been extended, for later completion.	Series contains: local unit number; local unit name; social security number; officer name; position code; date employed; basic training completed; latest in-service; delinquent training	Agency: 1	Records Center:	Archives Center:
				Destroy when updated report is verified		
03185	Transcript Release Form Change Date: 12/10/1987	This series documents the release of any police officer's training record that may be participating in the Kentucky Law Enforcement Foundation Program Fund (KLEFPF).	Series contains: officer's name; social security number; address for release to be mailed to; officer's signature; date	Agency: 1	Records Center:	Archives Center:
				Destroy		
03606	Instructor Information Database - (Electronic) Change Date: 12/14/1989	This series documents the credentials of all training instructors. It tracks instructor training qualifications and certification by the Kentucky Law Enforcement Council, and monitors past training completed, specialties, and influences in curriculum areas that each instructor is allowed to teach. It is also used to streamline work assignments, requirements, and expectations.	Series contains: social security number; certified subject; instructor name; certificate number; certification date; expiration date; agency; home phone; home address; office phone	Agency: 1	Records Center:	Archives Center:
				Delete entries three years after individual's certification expires		

STATE AGENCY RECORDS RETENTION SCHEDULE

Justice and Public Safety
Criminal Justice Training
Administrative

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
03607	Catalog of Courses Database - (Electronic) Change Date: 12/14/1989	This series documents class descriptions and intended schedules for each calendar year. It is used to compile a catalog of courses that is distributed to law enforcement agencies statewide so that each department can schedule its officers' yearly training. The information is also used to allow the Department of Criminal Justice Training to have administrative control of its courses and schedules.	Series contains: date of course; type of course (description); course number; course title; instructor hours; minimum and maximum number of students allowed; location of course; assigned instructor; prerequisites	Agency: 1	Records Center:	Archives Center:
				Delete entries at end of each calendar year		
03608	Class Schedule Database - (Electronic) Change Date: 12/14/1989	This series documents the courses taught yearly at the Department of Criminal Justice Training. It is used to track which instructor taught which subject on any given date. The information is transferred yearly to the Comprehensive Course Folder (02916) where it is maintained long term and gives a schedule of activities for each class. It is captured elsewhere and since class schedules change yearly, the data is deleted at the end of each calendar year so as to avoid overload on data storage.	Series contains: section number; course number; course title; beginning date; ending date; course location; coordinator; training week number; start date; objective number; subject; beginning time; ending time	Agency: 1	Records Center:	Archives Center:
				Delete entries at end of each calendar year		
03609	Course File Database - (Electronic) Change Date: 12/14/1989	This series documents the registration of law enforcement officers for training. The information in this data base is provided by the individual or his employing agency. It is received by Central Registration and the applicant is either approved for training or not. Confirmation of either action is returned to the applicant. If accepted, his expected participation is tracked through this data. Hard copy information is not retained, but entered into the database and manipulated electronically.	Series contains: agency number; employment date; rank; status; sex; race; agency type; Kentucky Law Enforcement Foundation Program Fund indicator; date of birth; name; home phone; home address; department; department address; social security number; course number; beginning and ending date; location; housing indicator; course title; course status	Agency: 1	Records Center:	Archives Center:
				Delete entries at end of each calendar year		
03610	Breath Test Operator Database - (Electronic) Change Date: 12/14/1989	This series documents the certification of breath test operators statewide. The courts generally will dismiss a case against a defendant if the operator of the breathalyzer (device used to measure alcohol use by the subject) has not received updated training during the last two years. Therefore, it tracks current certified operators' training dates while allowing instructors to plan for future training needs. New data is entered upon successful completion of the training needed to become a certified operator. Updates occur as re-certification is completed. Certification is administered by the Department through the Kentucky Law Enforcement Council.	Series contains: social security number; name; department; region; initial certification date; re-certification date; instrument indicator; status	Agency: 1	Records Center:	Archives Center:
				Delete entries six years after termination of employment date, or upon notification of death		

STATE AGENCY RECORDS RETENTION SCHEDULE

Justice and Public Safety
Criminal Justice Training
Administrative

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
03611	Communications/Dispatchers Certification Database - (Electronic) Change Date: 12/14/1989	This series documents the certification and performance of communications specialists and/or dispatchers that receive training through this department. As stated in KRS Ch. 15.560(2), all telecommunications staff are required to complete yearly training. The database provides for administrative tracking of past participation and for instructors to plan for future training needs. New data is entered upon successful completion of required training. Updates occur as re-certification is completed.	Series contains: social security number; name; department; remarks; initial certification date; re-certification date; type of certification	Agency: I	Records Center:	Archives Center:
				Delete entries six years after termination of employment date		
03612	Trainee Information Database - (Electronic) Change Date: 12/14/1989	This series documents all current biographical data on trainees and is used for reference and comparison to course applications. It acts basically as a client database. Upon verification of changes in address, workplace, etc., this database is updated. New trainee data is entered directly from the course application submitted by the law enforcement agency requesting the training.	Series contains: course number; date; agency number; social security number; rank status; sex; race; employment date; date of birth; age; height; weight; education; military veteran indicator; law enforcement experience; name; home address; home phone; agency type; county; area development district; department name; department address; department phone	Agency: I	Records Center:	Archives Center:
				Delete entries six years after termination of employment date, or upon notification of death		
03613	Grades Database - (Electronic) (C) KRS 61.878 (a) Change Date: 12/14/1989	This series documents law enforcement academic performance for trainees during each calendar year. It tracks classes completed and records the final grades received. Approximately 10,000 officers are trained each year. Upon completion of each course the data is merged with the Transcript Database (03614)	Series contains: social security number; name; score or grade; course number; course title; beginning date; completion date; course location; course status	Agency: 1	Records Center:	Archives Center:
				Delete entries at end of each calendar year, after verifying data has been		
03614	Transcript Database - (Electronic) (C) KRS 61.878 (a) Change Date: 12/14/1989	This series documents officer training throughout his law enforcement career. It is used to monitor Kentucky Law Enforcement Foundation Program Fund (KLEFPF) pay incentive participation while allowing verification of successful completion of the training course required to qualify. KLEFPF is established by KRS Ch.15.430. It consists of appropriations from the General Fund of Kentucky and insurance premium surcharges which accrue to this fund. The series can be used to create a transcript of training if the trainee requests one.	Series contains: social security number; name; agency number; course number; course title; course status; date of completion; final score; final grade	Agency: I	Records Center:	Archives Center:
				Delete entries six years after termination of employment date, or upon notification of death		

STATE AGENCY RECORDS RETENTION SCHEDULE

Justice and Public Safety
Criminal Justice Training
Administrative
Director's Office

Retention

Disposition Instruction

Series	Records Title and Description	Function and Use	Contents	Disposition Instruction		
02914	Grants			Agency: P	Records Center:	Archives Center:
				Retain in agency		

STATE AGENCY RECORDS RETENTION SCHEDULE

Justice and Public Safety
Criminal Justice Training
Administrative
Planning/Development/Evaluation

Retention

Disposition Instruction

Series	Records Title and Description	Function and Use	Contents	Disposition Instruction		
02930	Comprehensive Survey			Agency: P	Records Center:	Archives Center: P
				Retain in agency. Transfer two copies to the State Archives Center		

STATE AGENCY RECORDS RETENTION SCHEDULE

Justice and Public Safety
Criminal Justice Training
Commissioner's Office

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
02904	Policy Memoranda			Agency: I	Records Center:	Archives Center:
				Retain one copy permanently. Destroy other copies when no longer useful		
02913	Approved Curricula Files			Agency: P	Records Center:	Archives Center:
				Retain in agency		

STATE AGENCY RECORDS RETENTION SCHEDULE

Justice and Public Safety
Criminal Justice Training
Commissioner's Office
Executive's Staff Advisor

Retention

Series	Records Title and Description	Function and Use	Contents	Disposition Instruction		
02905	Insurance Policies on Mobile Unit			Agency: 1	Records Center:	Archives Center:
				Destroy after expiration of policy		
02906	Grants - (Duplicate - original in Fiscal Services)			Agency: 1	Records Center:	Archives Center:
				Destroy after final grant papers submitted		
02907	Press Releases			Agency: 2	Records Center:	Archives Center:
				Destroy		
02908	Work Requests - (For Eastern Kentucky University)			Agency: 2	Records Center:	Archives Center:
				Destroy		
02909	Forms and Handouts			Agency: 1	Records Center:	Archives Center:
				Destroy when no longer useful		
02910	Inventory - (A. weapons; B. supplies; C. ammunition)			Agency: 1	Records Center:	Archives Center:
				Destroy when superseded		

STATE AGENCY RECORDS RETENTION SCHEDULE

Justice and Public Safety
Criminal Justice Training
Training Support
Assistant Director

Retention

Series	Records Title and Description	Function and Use	Contents	Disposition Instruction		
02936	Grant Information Files - (Also includes grant applications)			Agency: P	Records Center:	Archives Center:
				Retain in agency. After microfilming, records may be destroyed in accordance with instructions contained in the general agreements		
02937	Billings to Trainees			Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
02938	Law Enforcement Meal Rosters			Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
02939	Critiques of Instructions - (Beginning July 1981)			Agency: 1	Records Center:	Archives Center:
				Destroy		
02940	Vehicle Reports and Records			Agency: I	Records Center:	Archives Center:
				Destroy upon disposition of vehicle		
02941	Incident File - (Disciplinary hearings, injury file, personnel)			Agency: P	Records Center:	Archives Center:
				Retain in agency. After microfilming, records may be destroyed in accordance with instructions contained in the general agreements		
02942	Law Enforcement Course Curricula - (Originals and proposals)			Agency: P	Records Center:	Archives Center:
				Retain in agency		

STATE AGENCY RECORDS RETENTION SCHEDULE

Justice and Public Safety
Criminal Justice Training
Training Support
Assistant Director

Retention

Disposition Instruction

Series	Records Title and Description	Function and Use	Contents			
02943	Instructor's Remunerations			Agency: 2	Records Center:	Archives Center:
				Destroy		

STATE AGENCY RECORDS RETENTION SCHEDULE

Justice and Public Safety
Criminal Justice Training
Training Support
Basic Training

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
02944	Application Files			Agency: P	Records Center:	Archives Center:
				Retain in agency		
02945	Course Completion Files			Agency: P	Records Center:	Archives Center:
				Retain in agency		
02946	Photographs			Agency: P	Records Center:	Archives Center:
				Retain in agency		
02947	Curricula for Cadet Classes			Agency: P	Records Center:	Archives Center:
				Retain in agency		
02948	Class Files			Agency: P	Records Center:	Archives Center:
				Retain in agency		
02949	Coroner Training Material			Agency: I	Records Center:	Archives Center:
				Destroy when obsolete		

STATE AGENCY RECORDS RETENTION SCHEDULE

Justice and Public Safety
Criminal Justice Training
Training Support
Director's Office

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
02931	Financial Ledger			Agency: I	Records Center:	Archives Center:
				Destroy when no longer useful		
02932	Membership List for Kentucky Law Enforcement Council and National Association of State Directors of Law Enforcement Training			Agency: P	Records Center:	Archives Center:
				Retain in agency		
02933	Grant Applications and Information			Agency: 3	Records Center:	Archives Center:
				Destroy		
02934	Reports of 1978 Mobile Unit Fire			Agency: P	Records Center:	Archives Center:
				Retain in agency		
02935	Budget Information Files			Agency: 3	Records Center:	Archives Center:
				Destroy		

STATE AGENCY RECORDS RETENTION SCHEDULE

Justice and Public Safety
Criminal Justice Training
Training Support
Louisville In-Service Training

Retention

Disposition Instruction

Series	Records Title and Description	Function and Use	Contents	Disposition Instruction		
02956	Kentucky Law Enforcement Council Administrative Regulations - (Duplicate)			Agency: 1	Records Center:	Archives Center:
				Destroy when updated		
02957	Class Roster and Grade Sheets - (Duplicate) Change Date: 3/1/1984			Agency: 1	Records Center:	Archives Center:
				Destroy		
02958	Test for In- Service			Agency: 1	Records Center:	Archives Center:
				Destroy		
02959	Court Attendance Records for Students			Agency: 1	Records Center:	Archives Center:
				Destroy		

STATE AGENCY RECORDS RETENTION SCHEDULE

Justice and Public Safety
Criminal Justice Training
Training Support
Richmond In-Service Training

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
02950	Class Roster and Grade Sheets - (Duplicate) Change Date: 3/1/1984			Agency: 1	Records Center:	Archives Center:
				Destroy		
02951	Curricula for Cadet Classes			Agency: P	Records Center:	Archives Center:
				Retain in agency		
02952	Photograph File			Agency: P	Records Center:	Archives Center:
				Retain in agency		
02953	Class Proposals			Agency: P	Records Center:	Archives Center:
				Retain in agency		
02954	Class Rosters and Grade Sheets Change Date: 6/1/1984			Agency: P	Records Center:	Archives Center:
				Retain in agency		
02955	Special Agencies Training Material Change Date: 6/1/1984			Agency: I	Records Center:	Archives Center:
				Destroy when obsolete		

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

Schedule Date: March 01, 1985

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Justice and Public Safety
Grants Management

Series	Records Title		Contents	Retention		
	and Description	Function and Use		Disposition Instruction		
02897	LEAA Quarterly Reports (N) NA	Series Closed in 1981: This series is included in Series 04196, Law Enforcement Assistance Administration Files, and is therefore being deleted from the schedule. The LEAA program was discontinued in 1981 and replaced with Series 04192, Victims of Crime Act Subgrantee File, and Series 04193, Narcotics Control Assistance Program File.	NA	Agency:	Records Center:	Archives Center:
02898	Subgrantee Master File (N) NA	This series is being deleted from the schedule as a separate series. It is being replaced by Series 04192, Victims of Crime Act Subgrantee File, Series 04192, Narcotics Control Assistance Program Subgrantee File, and Series 04196, Law Enforcement Assistance Administration File.	NA	Agency:	Records Center:	Archives Center:
02899	Subgrantee Audit Reports (N) NA	This series has been re-established under a new series title and number - Series 04197, Financial Review File. After 1976, the Cabinet ceased doing formal audits of subgrantees and began a new procedure of reviewing audits completed by independent auditors. According to federal guidelines, the agency did not have the authority to formally audit a subgrantee, hence the new procedure to determine financial worthiness.	NA	Agency:	Records Center:	Archives Center:
02900	Commission Members' Per Diem Compensation Schedule (N) NA	This series is covered by the General Schedule for State Agencies under the section covering retention and disposition of fiscal records, specifically those related to travel. It is being deleted from the schedule for the Division of Grants Management.	NA	Agency:	Records Center:	Archives Center:
02901	Monthly Reports (N) NA	This series is covered under the General Schedule for State Agencies as Series M0029, Activity Reports (Periodic). It is being deleted from the schedule for the Grants Management Division.	NA	Agency:	Records Center:	Archives Center:

STATE AGENCY RECORDS RETENTION SCHEDULE

Justice and Public Safety
Grants Management

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
04187	Compliance Monitoring Report (N) NA Change Date: 12/10/1992	This series documents the extent to which programs funded by the Cabinet under the Juvenile Justice and Delinquency Prevention Act of 1974 are in compliance with requirements of the Act. It provides information needed to determine the extent to which the state's Juvenile Code complies with federal standards. It is created following an annual on-site visit to the subgrantee facility. The purpose of the report is to determine, among other things, whether juveniles were held in secure facilities, what type of juvenile was present (truant, runaway, adult crime offender), and whether juveniles were housed inappropriately in facilities specifically for adult offenders. Facilities evaluated may include: county jails; detention centers; lockups; and Cabinet for Human Resources facilities. The series also specifies when corrective action can be expected and the extent to which noncompliance with program requirements and federal standards is significant or of slight consequence. If noncompliance is significant and corrective action has not been taken within a specified time period, the Cabinet's grant award may be withheld until such time as the program is in compliance. Information from this report aids the Cabinet in its legislative efforts to bring the state's Juvenile Code into compliance with federal standards.	Name/Address of Planning Agency; Contact Person; statistical data on number and types of facilities evaluated; statistical data on juveniles such as number of accused status offenders; non-offenders held for more than 24 hours; number of adjudicated offenders; number of offenders held in secure facility; extent of non-compliance; violations of state law; and other statistical data by category of juvenile	Agency: 5 Years	Records Center: NA	Archives Center: Permanent
				Transfer to the State Archives Center		
04188	Formula Grant Application & Three-Year Comprehensive Plan (N) NA Change Date: 12/10/1992	This series initiates the application process for the Cabinet to receive Juvenile Justice and Delinquency Prevention Act grant awards. It identifies the state's program areas, goals and objectives that will be achieved. A Three-Year plan, which replaced the annual submission, was implemented in 1980. The plan is amended annually to cover new or modified state programs or objectives which address specific requirements of the 1974 Act. The Cabinet's authority to administer such funds is found in KRS 15A.150	Application for Federal Assistance (SF-424); Budget Summary; Certified Assurances; State Advisory Group Composition; Technical Assistance Needs; Analysis of Juvenile Crime problems and Juvenile Justice needs; Plan for Removal of Status Offenders and Non-Offenders from Secure Detention and Correctional Facilities, for Separation of Juveniles from Adults, for Removal of Juveniles from Adult Jails, and for Reducing Disproportionate Representation of Minority Youth Confined in Secure Facilities	Agency: Permanent	Records Center: NA	Archives Center: NA
				Retain in Agency		

STATE AGENCY RECORDS RETENTION SCHEDULE

Justice and Public Safety Grants Management

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
04191	Award File (N) NA	This series is the official notification by the federal Department of Justice of the amount of funds awarded per federal fiscal year to the Justice Cabinet for the administration of the Narcotics Control Assistance Program, also known as the Drug Control and System Improvement Program, funded under the Anti-Drug Abuse Act of 1988, and the Victims of Crime Act of 1984. Grant award periods vary between the programs but generally are on two year cycles. Pursuant to its authority under KRS 15A.150, the Justice Cabinet is to administer all state and federal programs related to criminal justice. The series identifies each subgrantee and documents the amount of expenditures against each program. Information from the series may be used in planning for future grant requests.	Award Statement; Special Conditions Requirements; Applications for Awards; Grant Award Adjustment Notifications; Grant Period Extension Document; Related Correspondence; H-1 Financial Report; Breakdown of programs and amounts spent in each; and Final Subgrantee Status Report	Agency: Indefinite	Records Center: NA	Archives Center: Permanent
				Transfer to the State Archives Center five years after federal grant closure, and audit		
04194	Performance Report (Annual) (N) NA	This series documents the progress of the Justice Cabinet in implementing the Victims of Crime Act of 1984 and the Narcotics Control Assistance Program. It is used to determine the effectiveness of the programs and their related activities, and the status of the Cabinet's compliance with federal grant requirements. Additionally, the series is used as a management tool to: determine whether subgrantees are achieving expected results; aid in funding decisions; provide direction in plan development; and to provide a planning base for assessment of program strategies and goals. The information in the series is not found in any other program documentation; therefore, it represents the most complete and comprehensive view of the progress of the programs. Performance reports are completed on the Narcotics Control Assistance Program on a subgrant by subgrant basis. Reports for the Victims of Crime Act are completed on a federal grant basis, i.e., all subgrant reports are compiled together into one annual report covering the Cabinet's grant period.	Cover Sheet; Program Area Summary; Subgrantee Report Form; Funding Distribution; and Statistical Data on Specific Populations Served	Agency: 5 years	Records Center: NA	Archives Center: Permanent
				Transfer to the State Archives Center		
04195	Law Enforcement Service Fee Fund File (N) NA	This series documents the enforcement programs funded by the Justice Cabinet in the administration of the Law Enforcement Service Fee Fund. Pursuant to KRS 189A.050 and 200 KAR 8:030, Section 3 (3), the Cabinet receives 26% of the \$150.00 service fee imposed upon persons convicted of driving under the influence of alcohol or other substances which impair an individual's ability to drive a motor vehicle. The remainder of the funds are allocated to the Transportation Cabinet (4%, driver history record keeping), Cabinet for Human Resources (45%, treatment programs), Finance and Administration Cabinet (25%, jail maintenance). Enforcement programs funded by the Justice Cabinet may include drunk driving programs, public awareness programs, and purchase of equipment such as breathalyzers. Grants are renewable each year.	Application for Grant; Award Notification; Breakdown of how money is to be used; Reimbursement Forms; and On-Site Evaluations	Agency: 3	Records Center: NA	Archives Center: NA
				Destroy after audit		

STATE AGENCY RECORDS RETENTION SCHEDULE

Justice and Public Safety
Grants Management

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
04196	Law Enforcement Assistance Administration Files Closed Date: 1/1/1981 (N) NA	Closed Series: This series represented the federal grant award to the Justice Cabinet to subgrant funds: for use by local police departments (for purchase of equipment, cars, etc.); to construct juvenile justice facilities; to the Department of Corrections to establish adult offender programs; to the courts to establish public defender programs; and to fund other manpower training programs. The Law Enforcement Assistance Administration (LEAA) program was in effect from 1968 - 1981. The federal Department of Justice closed LEAA in 1981, eventually replacing it with the Victims of Crime Act of 1984 and the Narcotics Control Assistance Program, funded under the Anti-Drug Abuse Act of 1988. The change in grant funding by the federal government was to ensure that specific populations were served.	Application for Grant Award; Identification of Subgrantees; Status Reports; On-site Evaluations; Description of Programs Funded; Report of Expenditures and Disbursements; and Status Reports	Agency: 5	Records Center: NA	Archives Center: NA
				Destroy after audit		
04197	Financial Review File (N) NA	This series was created to establish the continuing financial worthiness of subgrantees to receive grants under the Victims of Crime Act and the Narcotics Control Assistance Program administered by the Justice Cabinet. Unlike earlier years, the process now involves a review of audits completed by independent auditors of subgrantees receiving more than \$25,000 in Justice Cabinet federal grant monies, rather than a formal audit by Division staff.	Audits covering Grant Period; Related Correspondence; and Evaluation of Financial Worthiness	Agency: 5 years	Records Center: NA	Archives Center: NA
				Destroy after audit		
04198	Subgrantee Rejected/Withdrawn File (N) NA	This series documents the rejection by the Justice Cabinet of perspective subgrantees to receive federal grant monies. The rejection of a subgrantee may result from a failure to meet application requirements or financial unworthiness, or lack of sufficient grant monies available from the Cabinet. The series also documents the withdrawal by a perspective subgrantee of an application to receive funds.	Application for Subgrant; Correspondence Explaining Reason for Rejection; Correspondence Relating to Reasons for Withdrawal of Application	Agency: Indefinite	Records Center: NA	Archives Center: NA
				Destroy three years after rejection/withdrawal of application		

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Justice and Public Safety
Office of Investigations

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
05734	Special Local Peace Officer Applications (C) KRS 61.878 (1) (a) Change Date: 6/12/2008	This series documents the application process for employment as a Special Local Peace Officer. Pursuant to KRS 61.360, the Governor or his agent may appoint Special Local Peace Officers for such time as he deems necessary to preserve the peace and protect the property of any person from waste or destruction. KRS 61.360 (3) further states the duties are confined to the premises of the property to be protected and KRS 61.360 (5) requires the applicant to post a bond. Applications must be submitted in duplicate to Justice and Public Safety Cabinet, Office of Investigations, for investigative purposes before employment. Upon completion of initial process of investigation, both applications are returned to requesting party; One (1) copy is then returned to Justice and Public Safety Cabinet, Office of Investigations, with the County Clerk seal providing proof the oath had been administered to the applicant while the second application will be retained by the requesting party. Applicants must submit a new application every two (2) years for reappointment as a SLPO.	Series may contain: Application; date of birth; Social Security number; home address; employment history; education; background checks; medical information; criminal record check; military history, if applicable; physical description; immediate family information; driver's license check; copy of birth certificate; Department of Defense (DD)-214, if applicable; 2 photographs; Firearms training; Justice Cabinet Release of Information form (SLPO 6); 2 copies of finger prints card and copy of \$5,000 bond, required; Letter of Intent (SLPO 5) and Acknowledgment applicant has received a copy of statutes and duties (SLPO 7).	Agency: 1 year	Records Center: 9	Archives Center:
				Retain in Agency for 1 year from date of termination of employment, send to State Records Center, then destroy.		

STATE AGENCY RECORDS RETENTION SCHEDULE

Justice and Public Safety Office of Investigations

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
05739	Special Law Enforcement Officer Applications (C) KRS 61.878 (1) (a) Change Date: 6/12/2008	This series documents each individual's application submitted for employment as a Special Law Enforcement Officer. Pursuant to KRS 61.902, the Secretary of Justice and Public Safety Cabinet may appoint an individual not otherwise employed as a law enforcement officer as a Special Law Enforcement Officer (SLEO). The duties of a SLEO are to protect public property. KRS 61.900 (4) defines public property as "property currently owned or used by any organizational unit or agency of state, county, city, metropolitan government, or a combination of these. The term shall include property currently owned or used by public airport authorities." Applications must be submitted in duplicate for processing to Justice and Public Safety Cabinet, Office of Investigations. Upon completion of initial process of investigation, both applications are returned to requesting party. One (1) copy is returned to Justice and Public Safety Cabinet, Office of Investigations with the County Clerk seal providing proof the oath had been administered to the applicant and the second application will be retained by the property owner making the request for a SLEO. Applicants must submit a new application every two (2) years for reappointment as a SLEO.	Series may contain: Applications may include personal information, i.e., date of birth; Social Security number; home address; employment history; education; background checks; medical; military, if applicable; criminal background check and history; physical description; immediate family information; driver's license check; a copy of birth certificate; Department of Defense (DD)-214 form, if applicable; SLEO Training Certificate; First Aid Certificate; a copy of high school diploma/GED; a copy of college diploma; 2 photographs, firearms training; Justice Cabinet Release of Information form (SLEO 6); two copies of fingerprints card; Peace Officer Professional Standards (POPS) Certificate if working in a school system; Letter of Intent (SLEO 5).	Agency: 1 year	Records Center: 9	Archives Center:
04850	Investigative Report File - (Documents suspected violations of rights of juveniles confined in treatment centers) (C) KRS 61.878 (1)(h)(i) Change Date: 6/12/2008 (V)	This series documents the investigation of suspected violations of the rights of Department of Juvenile Justice committed youths. The need for the investigations arose from findings of the federal government that conditions in Kentucky juvenile treatment centers violated the constitutional and federal statutory rights of the juveniles. A Consent Decree was entered into, as a result of civil action against Kentucky by the federal government. A Memorandum of Agreement issued by the Department for Social Services (now the Department for Community Based Services, Cabinet for Families and Children) delegated the responsibility to conduct the investigations to the Justice Cabinet. As a result of the Consent Decree, a special unit within the Cabinet was formed circa October 1996. If violations are upheld, perpetrators can appeal to the Personnel Board. (Administrative regulations will be promulgated by the Cabinet to further define appeal procedures.) If violations are upheld, the perpetrator's name could be placed on the Child Abuse Registry, Cabinet for Families and Children.	Series contains: investigative report; supporting documentation, such as facility logs, incident reports, memoranda of concern; related correspondence	Agency: 3 years	Records Center: 20 years	Archives Center:
				Transfer to the State Records Center.		

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

Schedule Date: December 08, 1994

STATE AGENCY RECORDS
RETENTION SCHEDULE

Justice and Public Safety
Office of the Parole Board

Series	Records Title		Contents	Retention		
	and Description	Function and Use		Disposition	Instruction	
04480	Tapes of Preliminary Hearings - (Audio) - (Recorded by Administrative Law Judges) (N) NA (V)	This series documents the actual proceedings of preliminary hearings and is recorded by the Administrative Law Judge conducting the hearings, as required in KRS 439.330. Hearings are requested by respective parole officers and are arranged by administrative staff of the Parole Board. The purpose of the hearing is to determine if probable cause exists to believe that a parole violation has occurred. If a parolee has been arrested by the parole officer, he must be served with notice of hearing within 72 hours of the arrest and a hearing must be held within 14 days. In addition to the parolee, those present at the hearing may include the parole officer, attorney for the parolee, and any witnesses who may have been subpoenaed to appear. The Administrative Law Judges retain custody of the tapes until a summation of the findings is made (see Series 04881). At that time the tapes are transferred to staff of the Parole Board for further retention. In some cases, staff of the Board will be ordered to transcribe entire proceedings for use in lawsuits. There are two administrative law judges for the state who conduct between 35 and 40 hearings per month.	Series contains name of parolee; date of parole; violations parolee is being charged with; place of confinement; location of hearing; name of parole officer; attorney of record; findings of fact, mitigation and conclusions of law	Agency: 3 years	Records Center: NA	Archives Center: NA Destroy, or erase and reuse tape
04541	Victim Notification Program Files (Y) KRS 61.878 (1) (a), if hearing is closed Change Date: 9/14/1995	This series documents the process by which victims of felony crimes input to the parole process, as required in KRS 439.340 (5) and (6). Pursuant to statute, the Parole Board must notify victims of felony crimes of the scheduled parole hearing date. Prior to a decision by the Board to parole an inmate, the victim of the related crime is given the opportunity to comment in person, by requesting a hearing (before the Board), or in writing on all issues relating to the parole. Victims have the option of requesting a closed or open hearing, in the case of A, B, or C class felonies. Hearings on Class D felonies must be open because the Board is not required to notify victims of pending parole hearings for this class of offenses. All victim comments must be received for consideration by the Board approximately seven days in advance of the hearing. Victim input is retained by program staff for use in current or subsequent parole hearings.	Series contains: Notification of Expiration of Sentence; Victim Impact Statement; Victim Hearing Sign-In Sheet; Request for Victim Hearing	Agency: Indefinite	Records Center: NA	Archives Center: NA Transfer to the Department of Corrections, Offender Records Section, for inclusion in Offender Record, Series 02982, when inmate file is inactivated

STATE AGENCY RECORDS RETENTION SCHEDULE

Justice and Public Safety
Office of the Parole Board

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
04481	Results of Preliminary Hearings - (Summary completed by Administrative Law Judges) (N) NA	This series documents the results of preliminary hearings and is prepared from tapes (Series 04480) by the Administrative Law Judge conducting the hearings. It contains findings of fact and the circumstances of alleged violations. Once the Results have been prepared and signed, a warrant (see series 04486) is issued by Board staff for the return of the parolee to the institution of record. Until the warrant is executed, the parolee is usually detained in the county jail. The Parole Board must conduct a final revocation hearing (series 04485) within 30 days of the parolee's return to prison on the warrant. In most cases, the decision of the Board is to revoke parole status, however, it can rule to reinstate the parole, defer and reconsider at a later date, or require inmate to serve out the entire sentence.	The series contains three sections. One is a findings section, one is a mitigation section and the last is a conclusions section. In addition, the series may contain parolee's name; date of hearing; time of hearing; date notice of hearing served; location of hearing; parole officer's name; name of law judge; attorney of record; list of allegations; and date paroled	Agency: 18 months Destroy	Records Center: NA	Archives Center: NA
04482	Judge's Bench Docket (N) NA	This series was created to provide a daily account of the preliminary hearings schedules of the administrative law judges. Hearings are scheduled by administrative staff of the Board at the request of individual parole officers. Series also provides information for statistical reporting.	Series contains the date, time and place of preliminary hearings. May contain name of parolee	Agency: 1 year Destroy	Records Center: NA	Archives Center: NA
04483	Parole Worksheet - (Results in creation of Parole Certificate) (N) NA	This series was created to document those inmates who have been recommended for parole by the Parole Board. It is completed at the parole hearing for each inmate granted parole. Information from the worksheet is used to record the action of the Board for inclusion in the official minutes of meetings. Parole Board staff maintain the worksheet until notified that the inmate has secured home and job placements. At that time, information from the series is used to create the Parole Certificate, the official record of parole status. The Offender Records Section, Department of Corrections, identifies those inmates who are eligible for parole. Approximately 800-850 parole hearings are held per month.	Series contains: date of Board meeting; date inmate is recommended for parole; inmate's name; institution; institution number; institution received into; date received; county of commitment; conviction(s); length of sentence; date(s) of parole and returned as parole violator (if applicable); stipulations set by the Board; names of Board members in attendance and their votes	Agency: Indefinite Transfer to the Department of Corrections, Offender Records Section, for inclusion in Offender Record, Series 02982, when Parole Certificate is issued	Records Center: NA	Archives Center: NA

STATE AGENCY RECORDS RETENTION SCHEDULE

Justice and Public Safety
Office of the Parole Board

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
04484	Deferred/Serve Out Record (N) NA	This series was created to document recommendations of the Board as to whether an inmate's eligibility for parole should be deferred until a later date, or whether he/she should serve out the entire sentence. The record is divided into two sections. One for deferrals and one for serve outs. It is completed at the hearing and contains the amount of months action on parole will be deferred and the conditional release date, thus establishing a new parole eligibility date, and information regarding the decision of the Board to have the inmate serve out his time. Information from the series is used to create minutes of the Board.	Series contains: name of inmate; institution; institution number; date of hearing; name of secretary recording information; Parole Board members in attendance and their votes; reasons for deferment or serve out; date of conditional release (if served out); months of deferment (if deferred); recommendations of Board members or rehabilitation programs referred to	Agency: Indefinite	Records Center: NA	Archives Center: NA Transfer to the Department of Corrections, Offender Records Section, for inclusion in the Offender Record, 02982, upon final disposition
04485	Results of Final Parole Revocation Hearing Record (N) NA	This series was created to document results of the Parole Board hearing on whether a parolee's parole status should be revoked. The hearing is held in the institution of record and is conducted within 30 days following admission of parole violations by the parolee, through waiver of a preliminary hearing, or as the result of a finding of probable cause at a preliminary hearing. Even though this hearing is referred to as the final revocation hearing, the Board may reinstate parole status, defer action to a later date, require the parolee to serve out his time, or see the inmate when eligible for parole on a new felony sentence.	Series contains: name of parolee; inmate number; Institution name; returned on; interviewed on; information regarding why final revocation hearing is being held; decision of the Parole Board; Parole Board action	Agency: Indefinite	Records Center: NA	Archives Center: NA Transfer to the Department of Corrections, Offender Records Section, for inclusion in the Offender Record, 02982, upon notification of final action
04486	Warrant for Parole Violation (N) NA	This series is used to officially return a parole violator or suspected violator to the institution of record. It is initiated by Board staff upon receipt of the results of a preliminary hearing (04481) by the administrative law judge or on an affidavit declaring a parolee an absconder. Parolee is normally in custody at this point, detained in a county jail. The warrant ensures the return of the parolee to the proper institution. Information from the series is used by Parole Board staff to verify the conditions of arrest, should questions arise.	Series contains: Warrant number; date issued; parolee's name and institution number; county of conviction; convictions; date paroled; violations committed to promote issuance of warrant; last known address or place of present confinement; signature of Chairman of the Board; date warrant is signed	Agency: Indefinite	Records Center: NA	Archives Center: NA Destroy upon execution of the warrant

STATE AGENCY RECORDS RETENTION SCHEDULE

Justice and Public Safety
Office of the Parole Board

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
04487	Subpoena (N) NA	This series documents actions of the Parole Board in regard to final revocation hearings or actions taken during a preliminary hearing to determine probable cause for violation of parole. Witnesses may be subpoenaed to provide testimony at a hearing to determine whether parole status should be revoked, or other action taken by the Board or to determine probable cause at a preliminary hearing. It may also be used to introduce evidence or other pertinent documents into the record.	Series contains: name of parolee; name and address of subpoenaed individual; location of hearing; date and time of hearing; establishment to appear before (i.e., Parole Board members or administrative law judge); documents being ordered to be presented; person requesting subpoena; signature of the Chairman of the Board; and certification that subpoena has been served	Agency: 6 months Destroy	Records Center: NA	Archives Center: NA
04540	Hearing Tapes (Audio) - (Record of parole hearings) (N) NA Change Date: 9/14/1995	This series documents in recorded form hearings conducted to determine whether an inmate should be paroled. The hearings are conducted by three members of the Parole Board in the institution where the inmate is incarcerated. The proceedings of each hearing are taped by the Board members conducting the hearing for their use in the event the decision to parole is not unanimous. Unless the decision to parole is unanimous, the case is brought back to the full Board for a vote. A request for reconsideration by the inmate must occur within 21 days of the original hearing, as required in 501 KAR 1:030, Section (5). In this event, the taped proceedings of the hearing would be used in reviewing original decision not to parole.	In addition to the verbatim proceedings of the hearing, the tape will contain the location of the hearing, date, members present.	Agency: 6 months Destroy or erase and reuse	Records Center: NA	Archives Center: NA

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

Schedule Date: March 01, 1985

STATE AGENCY RECORDS
RETENTION SCHEDULE

Justice and Public Safety
State Medical Examiner

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
02896	Medical Legal Autopsy Reports (Includes Coroner's Authorization for Autopsy) (C) KRS 61.878 (V)			Agency: P	Records Center:	Archives Center:
				Retain in Agency		